

# **Cooperative Agreement Streamlining Team Summary**

## **December 2002**

### **Short-Range Recommendations - Complete by 2/03**

#### Joint Responsibility

1. Inform Caltrans and Local Agencies of intent to standardize “basic” Cooperative Agreement process (Cooperative Agreement Development team concept)

#### Local Agency Responsibility

1. Draft Master Resolution(s)
2. Notify Local Agencies that Caltrans requires only 1 original signed Resolution

#### Caltrans Responsibility

1. Inform districts that the *specific* Cooperative Agreement (CA) process procedures are each district's decision and the intent is to have the Project Manager accountable for resolving issues with the Cooperative Agreement Development (CAD) team
2. Create a Fact Sheet with statewide standard elements
3. Clarify or educate districts that a Cooperative Agreement can be initiated with a Fact Sheet, but needs a PID to execute
4. Each District submit its Cooperative Agreement process to HQ Cooperative Agreement Coordinator

### **Mid-Range Recommendations - Complete by 8/03**

#### Joint Responsibility

1. Establish a Cooperative Agreement Development team for each CA consisting of a district CA Coordinator and Project Manager and the Local Agency
2. Require an initial Cooperative Agreement Development team meeting
3. Create a schedule for completion of Cooperative Agreement at initial team meeting
4. CAD team determine which functional units need to review CA
5. CAD Team determine if the 1<sup>st</sup> draft of an Agreement requires HQ review prior to review by the district functional units or Local Agency
6. Set a goal to complete the 1<sup>st</sup> draft within 1 month of initial Cooperative Agreement Development team meeting
7. Change “pre-approved” forms to “standardized” forms and work with LA to confirm standardization
8. Create conflict resolution process (prior to execution)
9. Include a policy exception process as part of conflict resolution process
10. HQ / Local Agency legal meet when impasse (after 2 loops) – see conflict resolution
11. Local Agencies and Districts come to HQ to discuss specific Cooperative Agreements

#### Caltrans Responsibility

1. Provide more training (non-funding) involving all parties
2. Identify funding types and constraints of funding types (local assistance funding, local funding, grants, mixed funding)
3. District functional units identify a single point of contact for review of Cooperative Agreements (similar to HQ Right of Way's September '02 memo)
4. Authorize District Director to extend a CA up to 12 months prior to actual expiration date
5. Circulate CA status sheet to district managers
6. Update CA manual (new laws, standard agreements, database, performance measures,)

## **Long-Range Recommendations - Complete by 2/04**

### Joint Responsibility

1. Create Master Agreements for “tough” issues (not a vehicle for funding) for Local Agencies with a program of projects – i.e., arcane issues that generates lots of pages, liability, insurance, etc.
2. Create specific Cooperative Agreements for projects funded by sales tax projects
3. Create a “boiler plate” Cooperative Agreement per Local Agency
4. Develop policy in funding, reimbursed work and overhead

### Caltrans Responsibility

1. Authorize District Director to revise funding amount or % up or down by some limit without review by HQ
2. Staff Legal and HQ CAC to a level that provides customer satisfaction with responsiveness
3. Find mechanism to resource CA workload
4. Empower the district to approve exceptions to policy
5. Create tools to help districts and Local Agencies to select proper standardized forms
6. Provide tool and guidance for district CAC when developing non-standard CA. For example, expand database category field to allow more specific sorting i.e., mitigation agreements

## **Measurement System**

### Customer Satisfaction

1. HQ Cooperative Agreement staff send a customer satisfaction survey with each executed Cooperative Agreement to:
  - Local Agency
  - District Project Manager
  - District Cooperative Agreement Coordinator
  - HQ Legal / Accounting
2. HQ Cooperative Agreement staff summarize results every 6 months (initially for the 3 month pilot, thereafter every 6 months)
3. Cooperative Agreement Streamlining team analyze data and develop recommendations
4. Results and recommendations presented in April / September '03 to Districts, Self-Help Coalition, RTPA's, Cities, and Rural Counties

### Cooperative Agreements Tracking Database

1. HQ Division of Design complete 1<sup>st</sup> version of database by January '03
2. Pilot database from January – March '03 in districts 4 and 10
3. HQ Cooperative Agreement staff summarize results every 6 months (initially for the 3 month pilot, thereafter every 6 months)
4. Cooperative Agreement Streamlining team analyze data and develop recommendations
5. Results and recommendations presented in April / September '03 to Districts, Self-Help Coalition, RTPA's, Cities, and Rural Counties